

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER

GIC-555

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

09/807050

INTERNATIONAL APPLICATION NO.  
PCT/US99/23721INTERNATIONAL FILING DATE  
07 October 1999PRIORITY DATE CLAIMED  
13 October 1998TITLE OF INVENTION SOFTWARE APPLICATION LIFECYCLE AND MANAGEMENT  
FOR BROADCAST APPLICATIONSAPPLICANT(S) FOR DO/EO/US  
P. PETERKA, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:
  - (a) Express Mail Certificate (EL 628 668 034 US)
  - (b) Patent Application Data Entry Form -- 2 sheets
  - (c) Patent application specification, including claims and

Abstract -- 48 pages (U.S. version for examination -  
incorporates claims as amended on March 29, 2001 in reply to Written  
Opinion)

(d) Nine (9) sheets of formal drawings, including separate transmittal letter

09807050 040601

U.S. APPLICATION NO. (11-1997, 11-1997)

097807050

INTERNATIONAL APPLICATION NO.  
PCT/US99/23721ATTORNEY'S DOCKET NUMBER  
GIC-55521. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**Neither international preliminary examination fee (37 CFR 1.482)  
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO  
and International Search Report not prepared by the EPO or JPO. .... \$1000.00International preliminary examination fee (37 CFR 1.482) not paid to  
USPTO but International Search Report prepared by the EPO or JPO ..... \$860.00International preliminary examination fee (37 CFR 1.482) not paid to USPTO  
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$710.00International preliminary examination fee (37 CFR 1.482) paid to USPTO  
but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$690.00International preliminary examination fee (37 CFR 1.482) paid to USPTO  
and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00**ENTER APPROPRIATE BASIC FEE AMOUNT =****CALCULATIONS PTO USE ONLY**

\$ 690.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$ ---

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	26 - 20 =	6	x \$18.00	\$ 108.00
Independent claims	6 - 3 =	3	x \$80.00	\$ 240.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$270.00
				\$ ---

**TOTAL OF ABOVE CALCULATIONS =**

\$ 1038.00

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above  
are reduced by 1/2.

\$ ---

**SUBTOTAL =**

\$ 1038.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$ ---

**TOTAL NATIONAL FEE =**

\$ 1038.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$ 40.00

**TOTAL FEES ENCLOSED =**

\$ 1078.00

Amount to be  
refunded:

\$

charged:

\$

- a. ☒ A check in the amount of \$ 1078.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 50-0625. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card  
information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR  
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Barry R. Lipsitz  
Law Offices of Barry R. Lipsitz  
755 Main Street, Building No. 8  
Monroe, CT 06468  
(203) 459-0200

Date: April 6, 2001

SIGNATURE

Barry R. Lipsitz

NAME

28,637

REGISTRATION NUMBER

Express Mail No.: EL 628 668 034 US

T09040 05020860

09/807050

2002 Rec'd PCT/PTO 06 APR 2001

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Peterka, et al.

Filed: Herewith

For: **SOFTWARE APPLICATION LIFECYCLE  
AND MANAGEMENT FOR BROADCAST  
APPLICATIONS**

**DRAWING REVIEW BRANCH**  
Commissioner for Patents  
Washington, D.C. 20231

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as Express Mail (No. EL 628 668 034 US) in an envelope addressed to: BOX PCT, Commissioner for Patents, Washington, D.C. 20231 on:  
April 6, 2001

By: Cathy Dunne  
Cathy Dunne

**TRANSMITTAL OF FORMAL DRAWING(S)**

Dear Sir:

Enclosed are NINE (9) sheets of formal drawings for filing in the above-referenced patent application.

Please advise the undersigned attorney if correction is necessary.

Respectfully submitted,

BS

Barry R. Lipsitz  
Attorney for Applicant(s)  
Registration No. 28,637  
755 Main Street, Bldg. No. 8  
Monroe, CT 06468  
(203) 459-0200

Date: April 6, 2001  
ATTORNEY DOCKET NO.: GIC-555

09/807050

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Peterka, et al.

U.S. Application No.:

International Application No.: PCT/US99/23721

U.S. Filing Date: Herewith

International Filing Date: October 7, 1999

Title: SOFTWARE APPLICATION LIFECYCLE AND MANAGEMENT FOR BROADCAST APPLICATIONS

BOX PCT

Commissioner for Patents  
Washington, D.C. 20231**EXPRESS MAIL CERTIFICATE**"Express Mail" Mailing Label No: EL 628 668 034 US Date of Deposit: April 6, 2001.

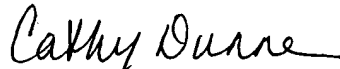
I hereby certify that the attached:

- ☒ Check - \$ 1078. (national fee and Assignment recordal fee)
- ☒ PTO Form 1390 - *Transmittal Letter to the U.S. Designated/Elected Office Concerning a Filing Under 35 U.S.C. 371* -- 2 sheets
- ☒ Patent application data entry form -- 2 sheets
- ☒ Declaration and Power of Attorney - 3 sheets
- ☒ Assignment, together with separate transmittal Form PTO-1595 - 3 sheets
- ☒ Patent application specification, including claims and abstract - 48 pages (version for U.S. examination incorporating claims as amended on 3/29/01 in international application)
- ☒ Nine (9) sheets of formal drawings, together with separate transmittal letter

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to: BOX PCT, Commissioner for Patents, Washington, D.C. 20231

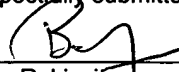
Cathy Dunne

Typed or printed name of person mailing paper or fee



Signature of person mailing paper or fee

Respectfully submitted,



Barry R. Lipsitz  
Attorney for Applicant(s)  
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Date: April 6, 2001

Attorney Docket No.: GIC-555